

ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

EXECUTIVE SUMMARY

- **Federal Agency Name:** Economic Development Administration (EDA), Department of Commerce.
- **Funding Opportunity Title:** Economic Development Assistance Programs—Availability of Funds under the Public Works and Economic Development Act of 1965, as amended, and the Trade Act of 1974, as amended.
- **Announcement Type:** Initial Announcement of Federal Funding Opportunity (FFO).
- **Catalog of Federal Domestic Assistance (CFDA) Numbers:** 11.300, Grants for Public Works and Economic Development Facilities; 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance; 11.307, Economic Adjustment Assistance; 11.313, Economic Development—Trade Adjustment Assistance.
- **Dates:** Proposals are accepted on a continuing basis and applications are invited and processed as received. Generally, two months are required for EDA to reach a final decision after receipt of a complete application that meets all requirements.
- **Application Submission:** Proposals or applications (as appropriate) must be submitted to the applicable EDA regional office as set forth below.
- **Funding Opportunity Description:** EDA announces general policies and application procedures for grant-based investments that will promote comprehensive, entrepreneurial and innovation-based economic development efforts to enhance the competitiveness of regions, resulting in increased private investment and higher-skill, higher-wage jobs in areas experiencing substantial and persistent economic distress.

FULL ANNOUNCEMENT TEXT

THE ECONOMIC DEVELOPMENT ADMINISTRATION'S ECONOMIC DEVELOPMENT ASSISTANCE PROGRAMS

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I. Funding Opportunity Description

A. Program Objectives and Description

EDA's mission is to lead the federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy. In implementing this mission pursuant to its authorizing statute, the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA), EDA advances economic growth by assisting communities and regions experiencing chronic high unemployment and low per capita income to create an environment that fosters innovation, promotes entrepreneurship, and attracts increased private capital investment. EDA also administers the Trade Adjustment Assistance for Firms Program (TAA Program) under the Trade Act of 1974, as amended (19 U.S.C. §§ 2341-2391) (Trade Act). Under this program, EDA funds a national network of eleven (11) non-profit organizations known as Trade Adjustment Assistance Centers, with each being assigned a different geographic service region, which in turn provide trade adjustment assistance to firms that have been adversely affected by increased import competition.

B. Program Priorities

EDA encourages the submission of only those proposals or applications, as appropriate, which will significantly benefit regions with distressed economies. Distress may exist in a variety of forms, including high levels of unemployment, low income levels, large concentrations of low-income families, significant declines in per capita income, large numbers (or high rates) of business failures, sudden major layoffs or plant closures, trade impacts, military base closures, natural or other major disasters, depletion of natural resources, reduced tax bases, or substantial loss of population because of the lack of employment opportunities. EDA believes that regional economic development to help alleviate these conditions is effected primarily

through investments and decisions made by the private sector. EDA will give preference to proposals or applications (as appropriate) that include cash contributions (over in-kind contributions) as the matching share.

EDA will evaluate and select proposals or applications, as appropriate, according to the investment policy guidelines and funding priorities set forth in section V. of this announcement.

C. Program Authority

The authorities for the (i) Public Works and Economic Development Investments Program; (ii) Planning Program; (iii) Technical Assistance Program; and (iv) Economic Adjustment Assistance Program are sections 201 (42 U.S.C. § 3141), 203 (42 U.S.C. § 3143), 207 (42 U.S.C. § 3147), and 209 (42 U.S.C. § 3149) of PWEDA. The authorities for the TAA Program are Chapters 3 and 5 of Title II of the Trade Act (19 U.S.C. § 2341 *et seq.*).

EDA published final regulations (codified at 13 C.F.R. Chapter III) in the *Federal Register* on September 27, 2006 (71 FR 56658). The final regulations became effective upon publication and reflect changes made to PWEDA by the Economic Development Administration Reauthorization Act of 2004 (Pub. L. No. 108-373, 118 Stat. 1756 (2004)). The final regulations, PWEDA and Chapters 3 and 5 of Title II of the Trade Act are accessible on EDA's Internet website at www.eda.gov/InvestmentsGrants/Lawsreg.xml.

II. Award Information

II.A. Funding Availability

EDA is operating with appropriations made available under the Revised Continuing Appropriations Resolution, 2007, Pub. L. No. 110-5 (February 15, 2007). This Act makes \$250.741 million available in FY 2007 for the economic development assistance programs authorized by PWEDA and for the TAA Program authorized under the Trade Act.

This announcement will remain in effect until it is terminated or supplanted by a future FFO announcement. The funding periods and funding amounts referenced in this announcement are subject to the availability of funds at the time of award, as well as to Department of Commerce and EDA priorities at the time of award. The Department of Commerce and EDA will not be held responsible for proposal or application preparation costs. Publication of this FFO does not obligate the Department of Commerce or EDA to award any specific grant or cooperative agreement or to obligate all or any part of available funds.

II.A.1. Public Works and Economic Development Investments Program (CFDA No. 11.300)

For purposes of this FFO, EDA is allocating \$158,088,956 for the Public Works and Economic Development Investments Program in FY 2007. The average size of a Public Works investment in FY 2006 was \$1.223 million. However, this average is informational only and is not intended to restrict the size of future awards.

EDA will provide Public Works investments to support the construction or rehabilitation of essential public infrastructure and facilities necessary to generate or retain private sector jobs and investments, attract private sector capital, and promote regional competitiveness, including investments that expand and upgrade infrastructure to attract new industry, support technology-led development, redevelop brownfield sites, provide eco-industrial development, and support heritage preservation development investments such as those promoted by the Preserve America initiative.

II.A.2. Planning Program: Planning Assistance for District Organizations, Indian Tribes, States, and other Planning Organizations (CFDA No. 11.302)

EDA is allocating \$27,000,000 to the Planning Program in FY 2007. As in FY 2006, EDA expects that the majority of FY 2007 Planning Program funds will be used to provide support to existing District Organizations and Indian Tribe recipients. Some regions may offer three-year funding for their planning organizations.

II.A.3. Technical Assistance Program: Local Technical Assistance; National Technical Assistance; and the University Center Economic Development Program (CFDA No. 11.303)

EDA is allocating \$8,203,069 to the Technical Assistance Program in FY 2007. This includes \$700,443 for Local Technical Assistance, \$1,000,000 for National Technical Assistance, and \$6,502,626 for the University Center Economic Development Program.

- *Special Information on the National Technical Assistance Program*

A separate FFO announcement will be posted at www.Grants.gov that will set forth the specific funding priorities, application and selection processes, time frames, and evaluation criteria for certain National Technical Assistance projects to be funded with FY 2007 appropriations. Additional information may be found at EDA's Internet website at www.eda.gov.

- *Special Information on the University Center Economic Development Program*

In FY 2007, pursuant to a separate FFO announcement posted at https://apply.grants.gov/forms_apps_idx.html (insert CFDA Number 11.303 and Funding Opportunity Number EDA02142007) and at <http://www.eda.gov/InvestmentsGrants/FFON.xml>, EDA opened competition for the University Center Economic Development Program funding in its Austin and Denver regional offices. This FFO announcement sets forth the specific funding priorities, evaluation criteria, application and selection processes, and application deadline for University Center projects to be funded with FY 2007 appropriated program funds in the Austin and Denver regional offices. Additional information is available at EDA's Internet website at www.eda.gov.

EDA will approve a three-year project period for each University Center selected for funding under the FY 2007 University Center Economic Development Program competition. The University Center will not have to compete for the second and third years of funding. Funding beyond the initial year may be dependent upon the availability of program funds and satisfactory performance, as determined by EDA and expressed in written notice. Current University Center operators in the geographic service areas of EDA's Atlanta, Chicago, Philadelphia and Seattle regional offices will not have to compete for continuation funding in FY 2007, subject to the availability of funds and satisfactory continuing performance, as determined by EDA and expressed in written notice. The servicing EDA regional office will contact current University Center operators regarding the procedures for applying for FY 2007 continuation funding.

II.A.4. Economic Adjustment Assistance Program (CFDA No. 11.307)

EDA is allocating \$44,159,839 to the Economic Adjustment Assistance Program in FY 2007. The Economic Adjustment Assistance Program provides a wide range of technical, planning and infrastructure assistance in regions experiencing adverse economic changes that may occur suddenly or over time. This program is designed to respond flexibly to pressing economic recovery issues and is well suited to help address challenges faced by U.S. communities and regions. The Economic Adjustment Assistance Program is available to all eligible recipients under PWEDA, including institutions of higher education, non-profit organizations and consortia and State and local governments.

EDA also will continue its ongoing consideration of investment proposals from communities experiencing adverse economic changes due to base realignment and closures (BRAC) and federally-declared disasters when awarding assistance from FY 2007 Economic Adjustment Assistance Program funds. EDA will help American workers, businesses, and communities affected by military base closures or realignments, defense contractor reductions in force, U.S. Department of Energy defense-related funding reductions, rapid growth related to such closures, realignments, or reductions, federally-declared disasters, or economic deterioration due to other disasters, by providing assistance for planning, coordinating the use of federal resources available to support economic development recovery, and developing regionally focused economic recovery and growth strategies.

II.A.5. Trade Adjustment Assistance for Firms Program (CFDA No. 11.313)

EDA estimates that it will allocate \$12,814,214 to the TAA Program in FY 2007. EDA anticipates that these funds will be used to support the existing network of eleven (11) Trade Adjustment Assistance Centers, and to provide technical assistance to firms certified as eligible under the TAA Program. These continuation grants will not be competed. EDA does not currently anticipate awarding any new Trade Adjustment Assistance Center grants this fiscal year.

II.B. Types of Funding Instruments

EDA enters into either grants or cooperative agreements with eligible applicants in order to provide funding for eligible investment activities.

II.C. Project Periods

Project periods are dependent on the nature of the project and the EDA program under which the grant for the project is awarded.

III. **Eligibility Information**

A. Eligible Applicants

Pursuant to PWEDA, eligible applicants for and eligible recipients of EDA investment assistance include a(n): (i) District Organization; (ii) Indian Tribe or a consortium of Indian Tribes; (iii) State, a city or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (iv) institution of higher education or a consortium of institutions of higher education; or (v) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. *See* section 3 of PWEDA (42 U.S.C. § 3122) and 13 C.F.R. § 300.3. Projects eligible for Public Works or Economic Adjustment investment assistance include those projects located in regions meeting “Special Need” criteria (as defined in 13 C.F.R. § 300.3), as set forth in section VIII.B. of this announcement.

For-profit, private-sector entities do not qualify for investment assistance under PWEDA, with one minor exception: EDA may award a grant under section 207 (42 U.S.C. § 3147) of PWEDA under its Local Technical Assistance Program or National Technical Assistance Program to a for-profit organization for the specific purposes set forth in 13 C.F.R. § 306.1. EDA is not authorized to provide grants directly to individuals or to for-profit entities seeking to start or expand a private business. Such requests may be referred to State or local agencies, or to non-profit economic development organizations serving the region in which the project will be located.

Any community affected by the 1988, 1991, 1993, 1995 or 2005 base realignment and closure (BRAC) actions, which qualifies under EDA’s Public Works Program or Economic Adjustment Assistance Program, may apply for assistance under one or both of these programs. EDA anticipates that proponents with construction proposals will seek funding from the Public Works Program, and strategic planning, credit enhancement or other innovative financing proposals will compete under the Economic Adjustment Assistance Program.

B. Economic Distress Criteria

Potential applicants are responsible for demonstrating to EDA, by providing statistics and other appropriate information, the nature and level of economic distress in the region in which

the proposed project will be located. For a Public Works (13 C.F.R. part 305; CFDA No. 11.300) or an Economic Adjustment investment (13 C.F.R. part 307; CFDA No. 11.307), the project must be located in a region that, on the date EDA receives the application for investment assistance, meets one (or more) of the following economic distress criteria: (i) an unemployment rate that is, for the most recent twenty-four (24) month period for which data are available, at least one (1) percentage point greater than the national average unemployment rate; (ii) per capita income that is, for the most recent period for which data are available, eighty (80) percent or less of the national average per capita income; or (iii) a “Special Need,” as determined by EDA and as discussed in section VIII.B. of this announcement. *See* section 301 of PWEDA (42 U.S.C. § 3161) and 13 C.F.R. § 301.3.

Special Provisions Relating to Disaster Assistance. The hurricane season of 2005 (hurricanes Katrina, Rita and Wilma) resulted in immense damage in the Gulf Coast region of the United States. As a result of the hurricanes, there are increasing demands being placed on federal funds. Previously, EDA determined that Alabama, Mississippi and Louisiana qualify for EDA assistance under the Public Works and Economic Adjustment Assistance Programs pursuant to the “Special Need” provisions at 13 C.F.R. §§ 300.3 and 301.3. This determination allowed the Regional Directors in EDA’s Atlanta and Austin regional offices to recommend maximum investment rates of eighty (80) percent for specific investments in the affected States. This determination of “Special Need” was based on previous Presidential declarations of disaster areas and the Federal Emergency Management Agency’s (FEMA) designations of areas as eligible for public assistance (Categories C-G; http://www.fema.gov/assistance/emergency_declaration.shtm) due to declared disasters. Under this competitive solicitation, as part of EDA’s continuing efforts to help the Gulf Coast region recover, EDA will maintain its “Special Need” determination in the affected areas. Additionally, in FY 2007, EDA will help assist other Presidentially-declared disaster areas affected by hurricanes, tornadoes, floods, earthquakes or other calamities.

In August 2006, the Secretary of Commerce declared a commercial fishery failure due to a fishery resource disaster under section 312(a) of the Magnuson-Stevens Fishery Conservation and Management Act of 1976, as amended (16 U.S.C. § 1861a(a)). The scope of this fishery resource disaster, due primarily to natural causes, including drought, disease and poor ocean conditions, includes the entire 700 mile stretch of coastline from Cape Falcon, Oregon, to Point Sur, California. Due to this federally-declared disaster, EDA will maintain a “Special Need” determination for the fishery-impacted regions in the States of Oregon and California. *See* section VIII.B. of this FFO for additional information.

C. Cost Sharing or Matching Share Requirements

Generally, the amount of the EDA grant may not exceed fifty (50) percent of the total cost of the project. Projects may receive an additional amount that shall not exceed thirty (30) percent, based on the relative needs of the region in which the project will be located, as determined by EDA. *See* section 204(a) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(1). For Planning Assistance, the minimum EDA investment rate for projects under 13 C.F.R. part 303 is fifty (50) percent, and the maximum allowable EDA investment rate may not exceed eighty (80) percent. *See* 13 C.F.R. § 301.4(b)(3). For projects of a national scope under 13 C.F.R. part 306 (Training, Research and Technical Assistance), and for all other projects

under 13 C.F.R. part 306, the Assistant Secretary of Commerce for Economic Development (Assistant Secretary) has the discretion to establish a maximum EDA investment rate of up to one-hundred (100) percent where the project (i) merits and is not otherwise feasible without an increase to the EDA investment rate; or (ii) will be of no or only incidental benefit to the recipient. *See* section 204(c)(3) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(4).

In the case of EDA investment assistance to a(n) (i) Indian Tribe, (ii) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (iii) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to one hundred (100) percent of the total project cost. *See* sections 204(c)(1) and (2) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(5). Potential applicants should contact the appropriate EDA regional office to make these determinations.

While cash contributions are preferred, in-kind contributions, consisting of contributions of space, equipment, assumptions of debt, and services, may provide the required non-federal share of the total project cost. *See* section 204(b) of PWEDA (42 U.S.C. § 3144). EDA will fairly evaluate all in-kind contributions, which must be eligible project costs and meet applicable federal cost principles and uniform administrative requirements. Funds from other federal financial assistance awards are considered matching share funds only if authorized by statute, which may be determined by EDA's reasonable interpretation of the statute. *See* 13 C.F.R. § 300.3. The applicant must show that the matching share is committed to the project, available as needed and not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA investment assistance. *See* 13 C.F.R. § 301.5.

IV. Application Submission Information

A. Addresses to Request Pre-Application and Application Packages

Proponents applying for a Public Works or Economic Adjustment Assistance award under this announcement may request paper pre-application packages by contacting the designated point of contact listed in section VIII.C. of this FFO for the EDA regional office servicing your geographic area. Alternatively, proponents applying electronically through www.Grants.gov may access the pre-application package by following the instructions provided on http://www.grants.gov/applicants/apply_for_grants.jsp.

To apply for Planning or Technical Assistance under this announcement, the EDA regional office may instruct you to submit the *Application for Investment Assistance* (Form ED-900A) (OMB Control No. 0610-0094) in lieu of the *Pre-Application for Investment Assistance* (Form ED-900P) (OMB Control No. 0610-0094). Please contact the applicable EDA regional office listed in section VIII.C. of this FFO to make this determination. Whether the regional office instructs you to submit the *Application for Investment Assistance* or the *Pre-Application for Investment Assistance*, you also may apply via www.Grants.gov.

The following forms may be accessed and downloaded as follows: (i) Forms ED-900P and ED-900A at www.eda.gov/InvestmentsGrants/Application.xml; (ii) Standard Forms (SF) at either www.Grants.gov or at www.eda.gov/InvestmentsGrants/Application.xml; and (iii) Department of Commerce (CD) forms at www.doc.gov/forms. See section IV.D. of this FFO for paper or electronic submission requirements. See section V.A. of this FFO for information regarding evaluation and selection procedures.

For information regarding the TAA Program, please contact William P. Kittredge at WKittredge@eda.doc.gov. In connection with soliciting applications for certain National Technical Assistance projects to be funded in FY 2007, EDA will include relevant contact information in a separate FFO announcement.

B. Content and Form of Application Process

Proponents are advised to carefully read the instructions contained in this FFO and in the pre-application and application forms. The requirements of the pre-application are different than the requirements of the application. It is the sole responsibility of the proponent to ensure that the pre-application or application (as appropriate) is complete and received by EDA.

1. Proposal Format for Public Works or Economic Adjustment Assistance Investments

Proposals for Public Works or Economic Adjustment investments must be submitted on Form ED-900P. This form contains questions and requires a narrative statement that should not exceed four (4) pages. The project narrative statement must address the following topics in the order listed below:

- a. Project description.
- b. Geographic area in which project will be located.
- c. The regional nature and impact of the project.
- d. The means by which and the extent to which the project supports innovation.
- e. The means by which and the extent to which the project encourages entrepreneurship.
- f. Proponent's capability.
- g. Regional problem(s) or obstacle(s) addressed by the project.
- h. Project beneficiaries.
- i. Funding.
- j. Identity of sources of local commitment and non-EDA funding.
- k. Title/ownership/operation and maintenance (construction projects).
- l. Environmental issues.

Proponents requesting EDA to fund more than fifty (50) percent of eligible project costs are required to include Exhibit III.A. to Form ED-900P, which requests additional information from the proponent to reach a maximum allowable investment rate determination, in addition to other necessary documentation and the narrative statement.

For a Public Works or an Economic Adjustment investment, EDA reviews project eligibility at the time an application for investment assistance is received in the regional office. For economic distress levels based upon the unemployment rate or per capita income requirements, EDA will base its determination upon the most recent American Community Survey (ACS) published by the U.S. Census Bureau for either: the region where the Project is located, the geographic area where substantial direct project-related benefits will occur, or the geographic area of poverty or high unemployment, as applicable. If a recent ACS is not available to determine project eligibility, EDA will base its decision on the most recent federal data from other sources (e.g., data available from the Census Bureau and the Bureau of Economic Analysis, Labor Statistics, Indian Affairs). If no federal data are available, an applicant must submit to EDA the most recent data available through the government of the State in which the region is located (i.e., conducted by or at the direction of the State government). *See* section 301 of PWEDA (42 U.S.C. § 3161) and 13 C.F.R. § 301.3. Other data may be submitted, as appropriate, to substantiate eligibility based on a “Special Need” (*see* section VIII.B. below). The project must be eligible on the date EDA receives the application. In the case of an application received by EDA more than six (6) months prior to the time of award, EDA will re-evaluate the project to determine continued eligibility for EDA investment assistance before making an award. EDA will reject any documentation of eligibility that it determines is inaccurate or incomplete, which may cause the application to be rejected.

2. Submission Dates and Times

Unless otherwise noted in this announcement, EDA’s regional offices accept proposals on an ongoing basis. Proposals or applications (as appropriate) received after the date of this announcement will be processed in accordance with the requirements set forth herein until the next annual FFO is posted on www.Grants.gov and the related notice and request for proposals and applications is published in the *Federal Register*.

3. Intergovernmental Review

EDA applications for funding are subject to the requirements of Executive Order 12372, “Intergovernmental Review of Federal Programs.” To find out more about a State’s process under Executive Order 12372, applicants may contact their State’s Single Point of Contact (SPOC). Names and addresses of some States’ SPOCs are listed on the Office of Management and Budget’s (OMB) home page at www.whitehouse.gov/omb/grants/spoc.html.

C. Funding Restrictions

The general and administrative requirements for EDA awards are set forth in 13 C.F.R. parts 300–302. Specific application and award requirements for the Public Works, Planning, Technical Assistance, Economic Adjustment Assistance, and TAA Programs are provided in 13 C.F.R. parts 303–307 and 13 C.F.R. part 315. The uniform administrative requirements for Department of Commerce grants and cooperative agreements are codified at 15 C.F.R. parts 14 and 24, as applicable. Funds awarded cannot necessarily pay for all the costs that the recipient may incur in the course of carrying out the project. EDA allowable costs are determined in accordance with the following regulations (incorporated by reference at 15 C.F.R. parts 14 and

24): (i) 2 C.F.R. part 220, “Cost Principles for Educational Institutions (OMB Circular A-21)”;

(ii) 2 C.F.R. part 225, “Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)”;

(iii) 2 C.F.R. part 230, “Cost Principles for Nonprofit Organizations (OMB Circular A-122)”;

and (iv) Federal Acquisition Regulation Subpart 31.2, “Contracts with Commercial Organizations,” codified at 48 C.F.R. § 31.2. Applicable administrative requirements and federal cost principles are incorporated by reference into the terms and conditions of each EDA award. Generally, costs that are allowable include salaries, supplies and other expenses that are reasonable and necessary for the completion of the scope of work.

D. Pre-Application and Application Submission Requirements

The content of the pre-application or application (as appropriate) is the same for paper submissions as it is for electronic submissions. EDA will not accept facsimile transmissions of pre-applications and applications.

For projects under EDA’s Public Works Program (CFDA No. 11.300) or Economic Adjustment Assistance Program (CFDA No. 11.307), pre-applications may be submitted in two formats: (i) in paper (hardcopy) format through the procedures provided below in this FFO; or (ii) electronically in accordance with the procedures provided on www.Grants.gov.

For projects under EDA’s Planning Program (CFDA No. 11.302) or Technical Assistance Program (CFDA No. 11.303), please contact the applicable EDA regional office listed in section VIII.C. of this announcement for instructions as to whether you should complete a pre-application or an application. In the case of a continuation grant, no pre-application is required.

1. Paper Submissions

Under this competitive solicitation, a proponent for Public Works or Economic Adjustment investment assistance may submit a completed pre-application to the applicable EDA regional office listed in section VIII.C. of this announcement. Proponents choosing this option should download and print copies of the *Pre-Application for Investment Assistance* (Form ED-900P) and the *Application for Federal Assistance* (Form SF-424) at www.eda.gov/InvestmentsGrants/Application.xml, complete Parts I, II and III of Form ED-900P and Form SF-424, and attach the project narrative statement requested in section IV.B.1. of this FFO. The narrative statement should be clearly labeled to identify each addressed topic listed in section IV.B.1.

After consultation with the applicable EDA regional office, a proponent for a Planning or Technical Assistance investment may submit a completed pre-application or an application, as instructed, to the regional office.

A proponent must submit one (1) original and two (2) copies of a completed pre-application or application (as appropriate) via postal mail, shipped overnight or hand-delivered to the applicable regional office, unless otherwise directed by EDA staff. Proponents are advised that Department of Commerce mail security measures may delay receipt of United States Postal

Service mail for up to two weeks. Proponents may wish to use guaranteed overnight delivery services.

2. Electronic Submissions

Applicants for assistance under the Public Works or Economic Adjustment Assistance Programs may submit pre-applications electronically in accordance with the instructions provided at www.Grants.gov. The preferred file format for electronic attachments (e.g., the project narrative statement and exhibits to Form ED-900P) is portable document format (PDF); however, EDA will accept electronic files in Microsoft Word, WordPerfect, Lotus or Excel formats.

Applicants for Planning or Technical Assistance may not need to submit a pre-application. If the regional office instructs you to submit an application instead of a pre-application for a project under the Planning Program or the Technical Assistance Program, you may submit the application in paper (hardcopy) format or you may submit the application electronically via www.Grants.gov. If the regional office instructs you to submit a pre-application, you also may submit the pre-application in paper (hardcopy) format or electronically via www.Grants.gov.

Applicants should access the following link for assistance in navigating www.Grants.gov and for a list of useful resources: http://www.grants.gov/applicants/applicant_help.jsp. If you do not find an answer to your question under [Frequently Asked Questions](#), try consulting the [Applicant's User Guide](#). If you still cannot find an answer to your question, contact www.Grants.gov via email at support@grants.gov or telephone at 1-800-518-4726. The hours of operation for www.Grants.gov are Monday-Friday, 7:00 a.m. to 9:00 p.m. (EST) (except for federal holidays).

V. **Proposal and Application Review Information**

A. Evaluation and Selection Procedures

Each pre-application or application (as appropriate) is circulated by a project officer within the applicable EDA regional office for review and comments. When the necessary input and information are obtained, the pre-application or application (as appropriate) is considered by the regional office's investment review committee (IRC), which is comprised of regional office staff. The IRC discusses the pre-application or application (as appropriate) and evaluates it on two levels to (a) determine if the pre-application or application (as appropriate) meets the program-specific award and application requirements provided in 13 C.F.R. § 305.2 for Public Works investments, 13 C.F.R. § 303.3 for Planning investments, 13 C.F.R. § 306.2 for Local Technical Assistance, or 13 C.F.R. §§ 307.2 and 307.4 for Economic Adjustment Assistance; and (b) evaluate each pre-application or application (as appropriate) using the general evaluation criteria set forth in 13 C.F.R. § 301.8. These general evaluation criteria also are provided below under section V.B.

In the case of a pre-application, after completing its evaluation, the IRC recommends to the Regional Director whether an application should be invited, documenting its recommendation in the meeting minutes or in the Investment Summary and the Project Proposal Summary and Evaluation Form. For quality control assurance, EDA Headquarters reviews the IRC's analysis of the project's fulfillment of the investment policy guidelines set forth below in section V.B. of this FFO and in 13 C.F.R. § 301.8. After receiving quality control clearance, the Selecting Official, who is the Regional Director, considers the evaluations provided by the IRC and the degree to which one or more of the funding priorities provided below are included, in making his/her decision as to which proponents should be invited to submit formal applications for investment assistance. The Selecting Official then formally invites successful proponents to submit full applications (on Form ED-900A). If the Selecting Official declines to invite a full application, he/she provides written notice to the proponent.

If a proponent is selected to submit a formal application, the appropriate regional office will provide application materials and guidance in completing them. The proponent will generally have thirty (30) days to submit the completed application materials to the regional office. EDA staff will work with the proponent to resolve application deficiencies. EDA will notify the applicant if EDA accepts a completed application, and it is forwarded for final review and processing in accordance with EDA and Department of Commerce procedures.

B. Evaluation Criteria

EDA will select investment proposals or applications (as appropriate) competitively based on the investment policy guidelines and funding priority considerations identified in this section and in section V.C. below. EDA will evaluate the extent to which a project embodies the maximum number of investment policy guidelines and funding priorities possible and strongly exemplifies at least one of each. All investment proposals or applications (as appropriate) will be competitively evaluated primarily on their ability to satisfy one (1) or more of the following investment policy guidelines, each of equivalent weight and which also are set forth in 13 C.F.R. § 301.8:

1. ***Be market-based and results driven.*** An EDA investment will capitalize on a region's competitive strengths and will positively move a regional economic indicator measured on EDA's Balanced Scorecard, such as: an increased number of higher-skill, higher-wage jobs; increased tax revenue; or increased private sector investment resulting from the EDA investment.
2. ***Have strong organizational leadership.*** An EDA investment will have strong leadership, relevant project management experience, and a significant commitment of human resources talent to ensure a project's successful execution.
3. ***Advance productivity, innovation and entrepreneurship.*** An EDA investment will embrace the principles of entrepreneurship, enhance regional industry clusters, and leverage and link technology innovators and local universities to the private sector to create the conditions for greater productivity, innovation, and job creation.
4. ***Look beyond the immediate economic horizon, anticipate economic changes, and diversify the local and regional economy.*** An EDA investment will be part

of an overarching, long-term comprehensive economic development strategy that enhances a region's success in achieving a rising standard of living by supporting existing industry clusters, developing emerging new clusters, or attracting new regional economic drivers.

5. ***Demonstrate a high degree of local commitment by exhibiting:***

- High levels of local government or non-profit matching share funds and private sector leverage;
- Clear and unified leadership and support by local elected officials; and
- Strong cooperation between the business sector, relevant regional partners and local, State and Federal governments.

In addition to using the investment policy guidelines set forth above, EDA also will evaluate all Planning Assistance pre-applications or applications (as appropriate) based on the (i) quality of the proposed scope of work for the development, implementation, revision or replacement of a comprehensive economic development strategy (CEDS); and (ii) qualifications of the proponent to implement the goals and objectives resulting from the CEDS. *See* 13 C.F.R. § 303.3(a)(1) and (2). To ensure that the pre-application or application (as appropriate) fully meets these requirements, proponents should pay particular attention to 13 C.F.R. § 303.7(b), which sets forth specific technical requirements for the CEDS.

C. Funding Priorities

Successful proposals or applications (as appropriate) for EDA's investment programs will be regionally-driven initiatives in areas of the Nation that are underperforming and eligible for EDA assistance, and that meet one or more of the following core criteria (investment proposals or applications that meet more than one core criterion will be given more favorable consideration):

1. ***Investments in support of long-term, coordinated and collaborative regional economic development approaches:***

- Establish comprehensive regional economic development strategies that identify promising opportunities for long-term economic growth.
- Exhibit demonstrable, committed multi-jurisdictional support from leaders across all sectors:
 - i. Public (e.g., mayors, city councils, county executives, senior state leadership);
 - ii. Institutional (e.g., institutions of higher learning);
 - iii. Non-profit (e.g., chambers of commerce, development organizations); and
 - iv. Private (e.g., leading regional businesses, significant regional industry associations).
- Generate quantifiable positive economic outcomes.
- Make a persuasive case that the project would not have occurred "but for" EDA's investment assistance (e.g., a project in which EDA's assistance represents a substantial share of the total public infrastructure investment

and which are unlikely to attract public investment absent specific and discrete EDA involvement).

2. ***Investments that support innovation and competitiveness:***

- Develop and enhance the functioning and competitiveness of leading and emerging industry clusters in an economic region.
- Advance technology transfer from research institutions to the commercial marketplace.
- Bolster critical infrastructure (e.g., transportation, communications, specialized training) to prepare economic regions to compete in the world-wide marketplace.
- Leverage local partnerships and other federal programs (e.g., Economic Development Districts, Trade Adjustment Assistance Centers, University Centers, the U.S. Department of Labor's Workforce Innovation in Regional Economic Development (WIRED) initiative) that increase the project's probability of success, as well as its probability of bringing substantial benefits to the distress community in which it is located.

3. ***Investments that encourage entrepreneurship:***

- Cultivate a favorable entrepreneurial environment consistent with regional strategies.
- Enable economic regions to identify innovative opportunities among growth-oriented small and medium-size enterprises.
- Promote community and faith-based entrepreneurship programs aimed at improving economic performance in an economic region.
- Link the economic benefits of the project to the distressed community in which it is located.

Additional consideration will be given to investment proposals or applications (as appropriate) which also:

- Respond to sudden and severe economic dislocations (e.g., major layoffs, plant closures or disasters).
- Enable BRAC-impacted communities to transition from a military to civilian economy.
- Advance the goals of linking historic preservation and economic development as outlined by Executive Order 13287, "Preserve America."
- Support the economic revitalization of brownfields.

VI. Award Administration Information

A. Award Notices

As detailed in section V. of this announcement, for proponents submitting a pre-application, EDA may invite successful proponents to submit a formal application. This invitation is not, however, a guarantee that funding will be provided. Unsuccessful proponents will be notified by postal mail that their proposals were not recommended for funding. Unsuccessful proposals will be retained in the EDA regional office in accordance with EDA's record retention schedule.

The EDA Grants Officer will issue the grant award (Form CD-450), which is the authorizing financial assistance award document. By signing the Form CD-450, the recipient agrees to comply with all award provisions. EDA will provide the Form CD-450 by mail or overnight delivery to the appropriate business office of the recipient's organization. The recipient must sign and return the Form CD-450 without modification within thirty (30) days of receipt.

B. Reporting Requirements

All recipients are required to submit financial and performance (technical) reports in accordance with the terms and conditions of the grant award. All financial reports must be submitted in triplicate (one original and two copies) to the EDA Program Officer. *See* 13 C.F.R. § 302.16.

C. Performance Awards

In connection with an award to a recipient for a Public Works or an Economic Adjustment Assistance grant, the Assistant Secretary has the discretion to award a performance award to the recipient in an amount not to exceed ten (10) percent of the investment award, subject to the availability of funds. *See* section 215 of PWEDA (42 U.S.C. § 3154a). EDA will offer performance awards to selected recipients of Public Works and Economic Adjustment grants in accordance with 13 C.F.R. § 308.2. The process by which recipients will be selected is as follows:

- 1) Each regional office will determine which of its recipients are eligible to receive a performance award in accordance with the following:
 - (i) a recipient is eligible if it can demonstrate that the EDA project met or exceeded *at least one* of the following criteria: (a) its projection of jobs created; (b) its projection of private sector capital invested; (c) target dates for project start and completion stated at time of investment approval; and (d) notable fulfillment of the evaluation criteria set forth in 13 C.F.R. § 308.2;
 - (ii) the EDA award must have been made on or after October 27, 2004;
 - (iii) the project has been closed out; and
 - (iv) no more than three (3) years have elapsed since project closeout.
- 2) The regional office will select eligible projects for nomination and rates and ranks the selected projects.
- 3) The regional office then recommends a performance award amount for each project and compiles a ranked nomination list for submission to the Regional Director.

- 4) The Regional Director reviews the ranked nomination list and either accepts and signs the list, or based on his or her discretion, recommends changes, and forwards the nomination list to the Deputy Assistant Secretary for Management Services no later than May 1, 2007.
- 5) The Deputy Assistant Secretary for Management Services reviews the nominations and the justifications and compiles a consolidated list to submit to the Office of the Assistant Secretary.
- 6) The Assistant Secretary determines which recipients nominated will receive an award and the amount of each award and returns the approved selections to the regional office.
- 7) The Regional Director then issues notice of the performance awards to the selected recipients.

Performance awards cannot exceed ten (10) percent of EDA's investment in the project. However, if the regional office establishes and documents that an eligible EDA project also qualifies for a planning performance award in accordance with all requirements of 13 C.F.R. § 308.3, a combined performance and planning performance award of up to fifteen (15) percent of EDA's investment in the project may be awarded.

In accordance with the requirements of 13 C.F.R. § 308.3, recipients of EDA investment assistance awarded on or after October 27, 2004 may receive a planning performance award in an amount not to exceed five (5) percent of the amount of the applicable investment award. A regional office will determine its selection of projects eligible for a planning performance award based on: (i) the active participation by the recipient in District economic development activities; (ii) exceptional fulfillment of the comprehensive economic development strategy (CEDS); and (iii) exceptional collaboration with federal, State, and local economic development entities throughout development of the project.

- 1) The Regional Director will submit nominations, the associated justifications, and the recommended amounts to the Deputy Assistant Secretary for Management no later than May 1, 2007.
- 2) The Deputy Assistant Secretary for Management reviews the nominations and the justifications and compiles a consolidated list to submit to the Office of the Assistant Secretary.
- 3) The Assistant Secretary determines which of the recipients nominated will receive an award and the amount of each award and returns the approved selections to the regional office.
- 4) The Regional Director then issues notice of the planning performance awards to the selected recipients.

While section 215(h) and section 216(f) of PWEDA (42 U.S.C. §§ 3154a and 3154b) authorize the use of any amounts made available for EDA's economic development assistance programs, EDA is conducting the new performance award procedures on a pilot basis and will authorize the regional offices to use up to five (5) percent of their allocations for Public Works grants for these purposes.

VII. Agency Contacts

EDA's Internet website at www.eda.gov contains additional information on EDA and its programs. You may also contact the appropriate EDA regional office. Addresses for each of EDA's six (6) regional offices are provided in section VIII.C. of this announcement. Addresses for the Economic Development Representatives also are listed in section VIII.C. For community and regional economic development investments, contact the EDA regional office or the Economic Development Representative for your geographic area. For the following programs: (i) Research and Evaluation; (ii) National Technical Assistance; and (iii) Trade Adjustment Assistance for Firms, please contact William P. Kittredge at WKittredge@eda.doc.gov.

VIII. Additional Information and Requirements

A. Other Requirements

Unless otherwise provided in this FFO, applicant eligibility, program objectives and priorities, application procedures, evaluation criteria, selection procedures, and other requirements for all programs are set forth in EDA's final regulations (71 FR 56658) and applicants must address these requirements. EDA's final regulations are available on its Internet website at www.eda.gov. Certain Department of Commerce and other requirements are noted below.

1. Administrative and National Policy Requirements

Administrative and national policy requirements for all Department of Commerce awards are contained in the Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements, published in the *Federal Register* on December 30, 2004 (69 FR 78389). This notice may be accessed by entering the *Federal Register* volume and page number provided in the previous sentence at the following Internet website: <http://gpoaccess.gov/fr/retrieve.html>.

2. Environmental Requirements

The implementing regulations of the National Environmental Policy Act of 1969, as amended (NEPA), require EDA to provide public notice of the availability of project-specific environmental documents, such as environmental impact statements, environmental assessments, findings of no significant impact, and records of decision, to the affected public, as specified in 40 C.F.R. § 1506.6(b). Depending on the project location, environmental information concerning specific projects can be obtained from the Regional Environmental Officer (REO) in the appropriate EDA regional office listed in section VIII.C.

B. Special Need Criteria

The following criteria are published in accordance with 13 C.F.R. § 301.3(a)(1)(iii) and define what may constitute a "Special Need" (as defined in 13 C.F.R. § 300.3) sufficient to make a project eligible for Public Works or Economic Adjustment investment assistance, as described in section III.A. of this announcement. Proposals for only Public Works or Economic

Adjustment investment assistance may be found eligible under a “Special Need,” and EDA will determine the investment rates for such projects. A project is eligible pursuant to a “Special Need” if the project is located in a region that meets one of the criteria described below:

1. Closure or restructuring of an industrial firms or loss of a major employer essential to the regional economy. A region has experienced either: (1) an actual closure or restructuring of a firm(s) within the past twelve (12) months prior to application, resulting in sudden job losses and meeting the following dislocation criteria; or (2) a threat of closure that results from a public announcement of an impending closure or restructuring of a firm(s) expected to occur within two (2) years of application and result in sudden job losses meeting the following dislocation criteria:
 - a. For regions with population over 100,000, the actual or threatened dislocation is 500 jobs, or one (1) percent of the civilian labor force (CLF), whichever is less.
 - b. For regions with population up to 100,000, the actual or threatened dislocation is 200 jobs, or one (1) percent of the CLF, whichever is less.
2. Substantial out-migration or population loss. Applicants seeking eligibility under this criterion will be asked to present appropriate and compelling economic or demographic data to demonstrate the special need.
3. Underemployment, meaning employment of workers at less than full-time or at less skilled tasks than their training or abilities permit. Applicants seeking eligibility under this criterion will be asked to present appropriate and compelling economic and demographic data to demonstrate the special need.
4. Military base closures or realignments, defense contractor reductions-in-force, or Department of Energy defense-related funding reductions.
 - a. A military base closure refers to a military base that was closed or is scheduled for closure or realignment pursuant to the base closure and realignment process or other Department of Defense (DOD) process. Unless further extended by the Assistant Secretary, the region is eligible from the date of DOD’s recommendation for closure until five (5) years after the actual date of closing of the installation.
 - b. A defense contractor reduction-in-force refers to a defense contractor(s) experiencing defense contract cancellations or reductions resulting from official DOD announcements and having aggregate value of at least \$10 million per year. Actual dislocations must have occurred within one year of application to EDA and threatened dislocations must be anticipated to occur within two (2) years of application to EDA. Defense contracts that expire in the normal course of business will not be considered in meeting this criterion.
 - c. A Department of Energy defense-related funding reduction refers to a Department of Energy facility that has experienced or will experience a reduction of employment resulting from its defense mission change. The area is eligible from the date of the Department of Energy announcement of reductions until five (5) years after the actual date of reduced operations at the installation.
5. Natural or other major disasters or emergencies, including terrorist attacks. Unless further extended by the Assistant Secretary, a region that has received one of the following disaster declarations is eligible to apply for EDA assistance for a period of 18 months after the date of declaration:

- a. A Presidentially-Declared Disaster declared under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. § 5121 *et seq.*); or
 - b. A Federally-Declared Disaster pursuant to the Magnuson-Stevens Fishery Conservation and Management Act, as amended (16 U.S.C. § 1861a(a)); or
 - c. A Federally-Declared Disaster pursuant to the Consolidated Farm and Rural Development Act, as amended (7 U.S.C. § 1961); or
 - d. A Federally-Declared Disaster pursuant to the Small Business Act, as amended (Pub. L. No. 85-536, 72 Stat. 384 (1958)).
6. Extraordinary depletion of natural resources.
 7. Communities undergoing transition of their economic base as a result of changing trade patterns. An area certified as eligible by the North American Development Bank (NADBank) Program or the Community Adjustment and Investment Program (CAIP).
 8. Other special need. The area is experiencing other special or extraordinary economic adjustment needs, as determined by the Assistant Secretary.

The proponent will be asked to present appropriate economic or demographic statistics to demonstrate a “Special Need.”

C. EDA Regional Office Contacts and Economic Development Representatives

The EDA regional office contacts, the Economic Development Representatives and the areas served by each regional office are listed below.

H. Philip Paradise, Jr., Regional Director, Atlanta Regional Office, 401 West Peachtree Street, NW, Suite 1820, Atlanta, Georgia 30308-3510, Telephone: (404) 730-3019, Fax: (404) 730-3025, Internet Address: pparadice@eda.doc.gov

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